

U.S. Small Business Administration

Office of Small Business Development Centers

PORTABLE ASSISTANCE PROGRAM

FY 2012

**PROGRAM ANNOUNCEMENT NO.
OSBDC -2012-05**

The purpose of this Program Announcement is to invite proposals for funding from entities currently funded by SBA as a Small Business Development Center (SBDC) Lead Center. Only applications that are submitted by SBDC Lead Centers will be considered for funding.

Opening Date: May 3, 2012

Closing Date: Thursday, June 14, 2012

Proposals responding to this program must be posted to www.grants.gov by 11:59 PM Eastern Time Thursday, June 14, 2012. No other methods of submission will be permitted. Proposals submitted after the stipulated deadline will be rejected without being evaluated.

**U.S. SMALL BUSINESS ADMINISTRATION
OFFICE OF SMALL BUSINESS DEVELOPMENT CENTERS**

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1.0 Section I – Funding Opportunity Description

1.1. *Program Overview*

1.1.1.	Federal Agency Name	U.S. Small Business Administration (SBA)
1.1.2.	Funding Opportunity Title	Portable Assistance Program
1.1.3.	Announcement Type	Initial
1.1.4.	Funding Opportunity Number:	Program Announcement No. OSBDC-2012-05
1.1.5.	CDFA Number	59.037
1.1.6.	Closing Date for Submissions:	June 14, 2012, 11:59 PM Eastern Time
1.1.7.	Authority:	Section 21(a)(4)(C)(viii) of the Small Business Act (15 U.S.C. § 648(a)(4)(viii))
1.1.8.	Duration of Authority:	One Year
1.1.9.	Funding Instrument:	Cooperative Agreement
1.1.10.	Funding:	Funding is for a twelve month period
1.1.11.	Award Amount/Funding Range:	A total amount of \$1,080,952 in funding is available for this program. SBA expects to make up to eleven awards of not more than \$100,000 per award. There is no matching fund requirement. However, the availability of additional funds or in-kind resources should be noted in the technical proposal. Multiple awards to one SBDC in the same funding year are allowable provided the purpose of each project is separate and distinct.
1.1.12.	Project Duration:	Awards will be made for a project period of twelve months.
1.1.13.	Project Starting Date:	Within 30 calendar days of the date of award.
1.1.14.	Proposal Evaluation:	Proposals will be reviewed for sufficiency as detailed in Section 5.0. SBA may ask Applicants for clarification of the technical and cost aspects of their proposals. This must not be construed as a commitment to fund the proposed effort.
1.1.15.	Agency Programmatic Point of Contact:	Small Business Administration, Office of Small Business Development Centers, Tel: (202) 205-6766. Email: osbdc@sba.gov

1.2 *Introduction*

SBA seeks to make grants under the SBDC Portable Assistance Project to SBDC Lead Centers that provide services and/or develop small business assistance products that are centered on a replicable plan of action to increase small business success and viability in communities suffering economic hardship attributable to the impact of a major downsizing or closure of a business in their service area. SBA is particularly interested in collaborative efforts (community, regional, statewide, industry sector, etc.) that may serve as best practices and models of small business assistance in areas suffering from job loss and related economic distress as a result of business or government downsizing or closure. Applicants are encouraged to design and develop innovative programs and services to address the purpose of this Project, and efforts funded under this announcement should produce products and methodologies that can be replicated by SBDCs in other locations nationwide.

1.3 *Background*

Since its inception in 1953, SBA has served to aid, counsel, assist and protect the interests of small businesses. While SBA is best known for its financial support of small businesses through its many lending programs, the Agency also plays a critical role in providing funding to organizations that deliver technical assistance in the form of counseling and training to small business concerns and nascent entrepreneurs in order to promote growth, expansion, innovation, increased productivity and management improvement. The mission of SBA's Office of Small Business Development Centers which bears responsibility for administering the Portable Assistance Program, is to provide assistance to the small business community by linking the resources of federal, state and local governments with the resources of the educational community and the private sector. In partnership with SBA's Office of Small Business Development Centers (OSBDC) and district offices, the SBDCs develop programs and provide business management and other services that enhance the economic development goals and objectives of their respective states, their local funding partners and SBA.

1.4 *Purpose*

Eligible organizations (as defined in Section 3.2) may apply to SBA for awards of financial assistance under this Announcement to fund projects under the SBDC Portable Assistance Project to SBDC Lead Centers that provide services and/or develop small business assistance products that are centered on a replicable plan of action to increase small business success and viability in communities suffering economic hardship attributable to the impact of business or government downsizing or closure. SBA is particularly interested in collaborative efforts (community, regional, statewide, industry sector, etc.) that may serve as best practices and models of small business assistance in areas suffering from job loss and related economic distress as a result a major downsizing or closure event. Applicants are encouraged to design and develop innovative programs and services to address the purpose of this Project, and efforts funded under this announcement should produce products and methodologies that can be replicated by SBDCs in other locations nationwide.

1.5 *Leveraging of Resources*

Applicants selected for awards under this Announcement are required to maximize their efforts to leverage SBA funding by working in conjunction with SBA's District Offices and other federal, state, local and tribal government small business development programs and activities; SBA resource partners such as SCORE, Small Business Development Centers, Women's Business Centers, Veterans Business Outreach Centers, 7(j) Technical Assistance providers, Small Business Investment Companies, Certified Development Companies, and SBA lenders; universities, colleges, and other institutions of higher education; and private organizations such as chambers of commerce and trade and industry groups and associations.

1.6 *SBA Involvement and Oversight*

The Portable Assistance Program is managed by the Program Manager and the designated Grants Officer Technical Representative (GOTR) within the Office of Small Business Development Centers at SBA Headquarters who will be responsible for overall monitoring and oversight of a Portable Assistance Program award Recipient, including compliance with the terms of the Cooperative Agreement. A designated Grants Officer within the Office of Grants Management (OGM) will be responsible for issuing the Notice of Award, making modifications to the award, and processing payments.

1.7 *Changes or Cancellation*

SBA reserves the right to amend or cancel this Announcement, in whole or in part, at the Agency's discretion. Should SBA make material changes to this Announcement, the Agency will extend the Closing Date as necessary to afford Applicants sufficient opportunity to address such changes.

2.0 **Section II – Award Information**

2.1 *Estimated Funding*

SBA expects to issue up to \$1,080,952 in awards under this Announcement. The amount of funding provided under each award will be not more than \$100,000 per award.

2.2 *Expected Number of Awards*

SBA anticipates making no more than eleven awards under this Announcement.

2.3 *Period of Performance/Budget Periods*

Awards will be made for a one year period of performance.

2.4 *Funding Information*

Funds provided under the Portable Assistance Program must be used solely for the purposes stipulated in this Announcement and the Notice of Award and may not be commingled with any other monies. All costs proposed in an Applicant's budget must meet the tests of allowability, allocability, and reasonableness set forth in the applicable Office of Management and Budget (OMB) cost principles.

Indirect costs will be capped at a maximum of 20% percent regardless of the amount stipulated in an Applicant's indirect cost rate agreement. SBA will not reimburse Applicants for their proposal

preparation costs, but Applicants may request pre-award costs. Pre-award costs must directly relate to the conduct of the project and meet the tests of allowability, allocability, and reasonableness.

2.5 *Funding Instrument*

The funding instrument is a Cooperative Agreement.

2.6 *Matching Requirement*

There is no matching requirement for this award, however, applicants should note the availability of any additional funds and in-kind contributions pledged to this project in the technical proposal.

3.0 **Section III – Eligibility Information**

3.1 *General*

An organization may submit more than one proposal in response to this Announcement, provided that the purpose of each project is separate and distinct.

3.2 *Eligible Applicants.* To be eligible for this funding opportunity an applicant must:

- be an accredited SBDC under § 21(k)(2) of the Small Business Act (15 U.S.C. § 648(k)(2)).
- be funded as a Lead Center by SBA.

3.3 *Ineligible Applicants*

The following will automatically be considered ineligible and their applications will be rejected without being evaluated:

- Any organization **NOT** a currently funded and not an accredited SBDC Lead Center;
- Any organization currently having an outstanding, unresolved financial obligation to any Federal agency;
- Any organization that is currently suspended, debarred or otherwise prohibited from receiving awards of contracts or grants from the Federal Government
- Any organization with an outstanding and unresolved material deficiency reported under the requirements of the Single Audit Act or OMB Circular A-133 within the past three years;
- Any organization having at least one substantially non-compliant condition within SBA program guidelines occurring while administering or implementing any SBA program; and
- Any organization that has had a grant or cooperative agreement involuntarily terminated or non-renewed by SBA for cause;
- Any organization that has filed for bankruptcy within the past five years; and/or
- Any organization that proposes to serve as a pass-through and permit another organization to manage the day-to-day operations of the project.

4.0 Section IV – Application and Submission Information

4.1 *Application Instructions*

Applications must consist of the following elements: (i) a cover letter; (ii) Table of Contents (iii) a technical proposal; (iv) budget information; (v) certifications, forms and assurances; and (vi) attachments and exhibits. To retrieve these forms, use the hyperlink provided (SBDC Forms and Worksheets) which will direct you to the appropriate location on the OSBDC webpage or insert the following URL into your web browser and click on the ‘Forms and Worksheets’ heading: www.sba.gov/aboutsba/sbaprograms/sbdc/funding/sbdc_funding_opps.html

4.1.1 *Cover Letter*

The first page of each application must be a cover letter which includes the following information:

- Statement that the application is in response to Program Announcement No. OSBDC-2012-05;
- Applicant’s name and address;
- Applicant’s website address (if applicable);
- Name, telephone number, fax number, and email address for the Applicant’s designated point of contact; and
- Dollar amount of assistance being requested.

4.1.2 *Technical Proposal (not to exceed 15 pages)*

The technical proposal serves as the narrative blueprint for the Applicant’s planned project and must include the following information:

- Detailed description of the Applicant’s past experience and present capacity to provide assistance to small business (see Section 5.2.1 for further guidance);
- Detailed description of the proposed technical assistance delivery methods, their means of implementation, and the anticipated project outcomes and the manner in which they will be evaluated (see Section 5.2.2 for further guidance);
- Identification of the project director and key management personnel and staff, including résumés (or position descriptions for unfilled positions). Résumés must include experience relevant to this project and may not be more than two pages in length. Copies of résumés must be included as attachments in accordance with Section 4.1.5 and do not count toward the page limit (see Section 5.2.3 for further guidance);
- Identification of contractors and consultants and the manner in which they were selected (i.e., competitively or non-competitively). NOTE: Copies of contracts and consulting agreements (either signed or samples as applicable) must be included as attachments in accordance with Section 4.1.5 and do not count toward the page limit (see Section 5.2.3 for further guidance);
- An organizational chart;
- A timeline of performance milestones for the twelve-month Budget Period; and
- Identification of any additional funds or in-kind resources that will be expended in furtherance of the project (if applicable).

4.1.3 *Budget Information*

Budget information must be provided through the completion or submission of the following:

- Standard Form (SF) 424, Application for Federal Assistance;
- SF-424A, Budget Information (Non-Construction Programs);
- Budget Detail Worksheets (These include: Key Personnel List, Direct Cost Budget Worksheet and Indirect Cost Worksheet.
- An Applicant may substitute its own forms or spreadsheets in place of the Budget Detail Worksheet, provided it includes all the same cost elements/line items covered by Attachments A-9 through A-12;
- Budget narrative providing a brief, detailed explanation of the components of each cost element listed in the SF-424A;
- Copy of the Applicant's Cost Policy Statement; and
- Copy of the Applicant's current, government-wide indirect cost rate agreement (if the Applicant's budget includes indirect costs). If the Applicant does not have such an agreement, it must propose an indirect cost rate in accordance with the procedures set forth in the applicable cost principles circular. NOTE: Regardless of the Applicant's approved rate, SBA will cap indirect costs charged to an award made under this Announcement at 20 percent.

4.1.4 *Certifications, Forms and Assurances*

Each Applicant must complete and submit the following forms:

- SBA Form 1623, Certification Regarding Debarment, Suspension, and Other Responsibility Matters;
- SF-LLL , Disclosure of Lobbying Activities;
- Certification Regarding Drug-Free Workplace Requirements
- SF-424B, Assurances for Non-Construction Programs;

Letter from the Applicant's Auditor, CPA, Treasurer, Comptroller, CFO or similarly qualified individual certifying that the organization's financial management system currently meets the requirements of 2 C.F.R. Part 215, Subpart C, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non Profit Organizations.

4.1.5 *Attachments and Exhibits*

Each Applicant must attach copies of the following to its proposal (as applicable):

- Résumés, position descriptions, contracts, consulting agreements, letters of support, pledges of additional funding or in-kind resources, leases, conflict of interest policy, and cost policy statement;

- Most recent A-133 audit report. If the Applicant is not subject to the requirements of the Single Audit Act, it must instead submit a copy of its most recent audited financial statement; **UNAUDITED FINANCIAL STATEMENTS ARE NOT ACCEPTABLE**;
- Any other documentation the Applicant believes supports its proposal.

4.2 *Submission Instructions*

All proposals (narratives and forms) must be submitted electronically via the government-wide financial assistance portal www.grants.gov. **NO OTHER FORMS OF SUBMISSION WILL BE ACCEPTED.** All required forms are provided in the grants.gov application package for this funding opportunity. Specific instructions for obtaining, completing, and submitting an application via grants.gov, including animated tutorials, may be found at http://www.grants.gov/applicants/app_help_reso.jsp.

In order to submit an application via grants.gov, an organization is first required to have a DUNS number, be registered with the Central Contractor Registry (CCR), and have a grants.gov username and password. The process for meeting these three pre-submission requirements may take several days to complete. Additionally, Applicants may have to download or upgrade their software in order to utilize grants.gov. Applicants should not wait until the closing date to begin the submission process in order to avoid unexpected delays that could result in the rejection of an application.

Information about the grants.gov registration process can be found at http://www.grants.gov/applicants/get_registered.jsp. Applicants must register as organizations, not as individuals. Please note that organizations already registered with grants.gov do not need to re-register. However, all registered organizations must keep their CCR registration up-to-date. As part of the grants.gov registration process, an Applicant must designate one or more Authorized Organizational Representatives (AORs). AORs are the only individuals who may submit applications to grants.gov on behalf of an organization. If an application is submitted by anyone other than a designated AOR, it will be rejected by grants.gov and cannot be considered for funding.

Once an application is submitted, it undergoes a validation process through which it will be accepted or rejected by the grants.gov system. The validation process may take 24 to 48 hours to complete. Applicants should save and print written proof of an electronic submission made at grants.gov. Applicants can expect to receive multiple emails regarding the status of their submission. The first email will confirm receipt of the application. The second email will indicate that the application has either, been successfully validated by the system and assigned an SBA tracking number, or it has been rejected due to errors. An Applicant will receive a third email once SBA has downloaded its application from grants.gov for review in accordance with Section 5.3 below.

If grants.gov notifies an Applicant via email that its application contains an error, the Applicant must correct the noted error(s) before the system will accept and validate the application. Applicants that choose to submit on or close to the closing date are advised they may not receive email notification of an error with their applications until after the submission deadline, and thus will not have an opportunity to correct and resubmit their applications.

APPLICATIONS THAT ARE REJECTED BY GRANTS.GOV WILL NOT BE FORWARDED TO SBA AND CANNOT BE CONSIDERED FOR FUNDING. It is the Applicant's responsibility to verify that its submission was received and validated successfully at grants.gov. To check on the status of your application and see the date and time it was received, log on to grants.gov and click on the "Track My Application" link from the left-hand menu.

If you experience a technical difficulty with grants.gov (i.e., system problems or glitches with the operation of the grants.gov website itself) that you believe threatens your ability to submit your application, please (i) print any error message received; and (ii) call the grants.gov Contact Center at 1-800-518-4726 for immediate assistance. Ensure that you obtain a case number regarding your communications with grants.gov. NOTE: Problems with an Applicant's own computer system or equipment are **not** considered technical difficulties with grants.gov. Similarly, an Applicant's failure to: (i) obtain a DUNS number or complete the CCR or grants.gov registration process; (ii) ensure that an AOR submits the application; or (iii) take note of and act upon an email from grants.gov rejecting its application due to errors, are **not** considered technical difficulties. A grants.gov technical difficulty is an issue occurring in connection with the operations of grants.gov itself, such as the temporary loss of service by grants.gov due to an unexpected volume of traffic or failure of information technology systems, both of which are rare occurrences.

Applicants should use the following link to obtain assistance in navigating grants.gov and access a list of useful resources: http://www.grants.gov/applicants/app_help_reso.jsp. If you have a question that is not addressed under the "Applicant FAQs," try consulting the "Applicant User Guide" or contacting grants.gov via email at support@grants.gov or telephone at 1-800-518-4726. The grants.gov Contact Center is open 24 hours a day, seven days a week.

4.3 *Required Proposal Submission Dates*

Each Applicant is required to submit its proposal electronically via www.grants.gov no later than 11:59 p.m. Eastern Time on June 14, 2012. Because of the pre-conditions for submitting applications via grants.gov and the potential for encountering technical difficulties in using that site, Applicants are strongly encouraged to log on to grants.gov and review the submission instructions early. **DO NOT WAIT UNTIL THE CLOSING DATE TO BEGIN THE SUBMISSION PROCESS.** Applicants bear sole responsibility for ensuring their proposals are submitted and received before the closing date.

SBA will consider the date and time stamp on the validation generated by grants.gov as the official submission time. A proposal that is not received by grants.gov before the closing date of this Announcement will be rejected without being evaluated, unless the Applicant can clearly demonstrate through documentation obtained from grants.gov that it attempted to submit its proposal in a timely manner but was unable to do so solely because of grants.gov systems issues. Additionally, SBA will not accept any changes, additions, revisions, or deletions to applications made after the closing date.

Applicants should save and print written proof of an electronic submission made at grants.gov. If problems occur while using grants.gov, the applicant is advised to (i) print any error message received; and (ii) contact grants.gov for immediate assistance. Applicants may obtain advice and assistance with the grants.gov submission process by visiting <http://www.grants.gov/help/help.jsp> or by calling 1-800-518-4726.

5.0 Section V - Application Review Information

5.1 *General*

Applications will be rejected without being evaluated if they are submitted by ineligible organizations or they are illegible or materially incomplete due to an Applicant's failure to include all required forms and/or provide the required level of detail.

5.2 *Evaluation Criteria*

All timely, materially complete applications received from eligible organizations will be evaluated in accordance with the criteria listed below. Examples of portable assistance include, but are not limited to:

- Web-based client delivery services, such as counseling and training delivered via video or internet conferencing, online training, downloadable tools to assist businesses with risk and break-even analyses, etc.
- Mobile training and counseling units
- Use of "swat teams" to provide focused business counseling that targets relief to acutely affected businesses and entrepreneurs
- Establishment of small business cooperatives to secure cost savings through economies of scale for such necessities as equipment, supplies, insurance, payroll and other business services.
- Peer roundtables for information exchange and problem solving.

5.2.1 *Organizational Experience and Capacity (25Points)*

Applicants will be evaluated on their demonstrated ability to provide assistance to small business concerns negatively impacted by a major business closure or downsizing. Applicants must provide adequate evidence and documentation, including specific examples, of their:

- Experience with, and capacity for, conducting portable assistance projects, including discussion of the number of years they have conducted such projects.
- Identification of the downsizing or closure due to a major disaster. Applicants must provide evidence (statistics, demographics, research, case studies, and other supporting documentation) to support the selection of the targeted region or business community.
- Factual economic justification to demonstrate the job losses and/or small business instability that has resulted from the identified closure, downsizing or disaster.
- Demonstrated knowledge of as well as experience and capability of providing assistance to small businesses to overcome economic instability or distress. Provide concrete examples of past accomplishments, such as turnaround support or other assistance to help clients to reverse negative economic trends.
- Responses/corrective actions to any qualified audit opinions, going concern paragraphs, or A-133 audit findings.

5.2.2 *Project Design (30 Points)*

Applicants will be evaluated on their understanding of the purpose of the Portable Assistance Program, their proposed approach for performing their projects, their outcomes and objectives, and their methodology for evaluating and assessing the effectiveness and impact of their projects. Innovation and creativity in providing assistance to small business is strongly encouraged. Applicants must describe in detail the proposed technical assistance delivery methods and products and their implementation and evaluation. Specific topics an Applicant must address include the:

- Scope of the geographic area and demographic it intends to serve;
- Methods of outreach to small business;
- Number of small businesses it expects to assist;
- Identify specific assistance that will be made available to businesses facing economic, geographic, communication or other infrastructure challenges. Identify if the proposed design is part of a larger strategy, e.g. interfacing with regional or state economic development efforts or partners;
- Identification of the data elements it will collect, the means of their collection, and the uses to which they will be applied;
- Clarity, accuracy and relevance of its evaluation methodology;
- Projected milestones or timeline of program accomplishments and activities;
- The design should lend itself to identification and implementation of best practices; serve as a model; or be summarized and posted on a website as a delivery mechanism for others' use.

5.2.3 *Project Management (15 Points)*

Applicants will be evaluated on the strength of their staffing and management plans for accomplishing the goals and objectives of the proposed project. Applicants must demonstrate they will devote adequate numbers of personnel having sufficient experience to the project, establish clear and direct lines of responsibility and authority for managing and overseeing the project, and show they will have sufficient facilities and other physical resources at their disposal in order to accomplish the proposed project. In particular, an Applicant must:

- Identify the key management, staff, and contractors/consultants, listing all full-time and part-time SBDC network employees devoting their time to this project describe their expertise and their roles in conducting and overseeing the project, stipulate the amount of time they will devote to the project, and provide copies of résumés/position descriptions and an organizational chart;
- Provide copies of all contracts and consulting agreements and identify the employees or officials of the Applicant organization who will be responsible for overseeing and administering those agreements;
- Describe its financial management structure and internal controls and identify all staff members who will be responsible for financial recordkeeping, reporting, the receipt and expenditure of award funds, and addressing audit findings;

5.2.4 *Collaboration and Leveraging of Resources (15 Points)*

Applicants will be evaluated on the breadth of their plans for coordinating their proposed activities and working to expand the scope and reach of their project in collaboration with entities such as SBA's District Offices, other federal, state, local and tribal government agencies, other SBA grant Recipients/resource partners (SCORE, WBCs), trade associations, business/industry groups, institutions of higher education, and/or private organizations. Additionally, although matching funds are not required, Applicants should note the availability of any non-award funds and/or in-kind resources that will be pledged to the performance of their projects. Specifically, an Applicant must provide:

- Copies of agreements with, or letters or emails from, the above-listed types of organizations pledging to work with the Applicant in order to advance specific Program objectives;
- Detailed descriptions of any of its own funds or in-kind resources the Applicant will devote to the project and copies of donation letters or checks from outside entities.

5.2.5 *Operational Controls: (15 Points)*

Applicants will be evaluated on their:

- Their design and methodology for measuring the outcomes of the project's objectives and compliance with required financial and performance reporting.
- Process for on-going monitoring, midcourse correction and continuous improvement.
- Timeline reflecting project tasks for the grant period, and a template to track the program's performance against the original goals.
- Additional funds or in-kind contributions being contributed to this project by the host or other partners must be identified. Additional resources should be included in the Proposal Narrative only. Do not include nonfederal funds on the Application for Federal Assistance (SF 424), Budget Information (SF424A) or Budget Detail Worksheets.

5.3 *Review and Selection Process*

Applications that are not rejected by grants.gov or SBA's screening process will be evaluated by reviewers and scored on the basis of how well they meet the criteria outlined above. These reviewers may be SBA employees or employees of other Federal agencies. The maximum score any application can receive is 100 points. Prior to evaluating applications received in response to this Announcement, SBA will establish a minimum acceptable score. Only those applications that meet or exceed that threshold will be eligible for funding. Applicants are therefore encouraged to design proposals that address each of the scoring criteria listed above as thoroughly as possible.

In the interest of providing Portable Assistance Program services to as broad a segment of the small business community as possible, SBA will take the geographical dispersion of Applicants' project service areas into account when making award decisions.

6.0. **Section VI - Award Administration Information**

6.1. *Award Notification*

All Applicants selected for awards will receive written notification. Applicants not selected for awards will not be notified. There will be no debriefing process for unsuccessful Applicants.

6.2 *Administrative and National Policy Requirements*

All successful Applicants will be required to comply with the requirements set forth in Section 21(a)(4)(C)(viii) of the Small Business Act (15 U.S.C. § 648(a)(4)(viii)) and 13 CFR Part 130 et seq.; 2 C.F.R. Parts 215, 220, 225, and 230, 13 C.F.R. Part 143, and OMB Circular A-133 (as applicable); the Assurances for Non-Construction Programs (SF-424B); and the terms and conditions set forth in their Notices of Award. In addition, SBA may, from time to time, advise Recipients of awards made under this Announcement of new legal requirements and/or policy initiatives with which they must agree to comply.

6.3 *Reporting*

All Recipients are required to submit the reports identified below. SBA may withhold payment if reports are not received or are deemed inadequate. Failure to report in a timely manner will also be weighed against future applications for grant funding from the same organization and the exercise of any option periods. The reports provided by Recipients may be made public. In addition, SBA reserves the right to require Recipients to post these reports on their web sites.

6.3.1 *Financial Reports*

Recipients will be required to submit quarterly financial reports to SBA using SF-425, Federal Financial Report (FFR) within 30 days of the completion of each of the first three quarters and within 90 days of the completion of the fourth quarter of each Budget Period.

6.3.2 *Performance Reports*

Quarterly Performance Reports (QPR). Recipients must submit QPRs within 30 days of the completion of each quarter. Each QPR must include

- a narrative of project accomplishments to date;
- a discussion of problems encountered and steps taken or proposed to correct those problems;
- an updated Planned Milestone Accomplishments Chart or alternative performance measurement tool that includes a comparison of project tasks to actual accomplishments, an identification of the reasons for non-achievement and a plan of action to address them, where applicable. If the template presents cumulative progress, a brief discussion of accomplishments during each reporting period is required;
- copies of résumés and subcontracts relating to the current budget period, if not previously submitted.

Data must be collected and submitted to SBA through EDMIS on a quarterly basis with coding appropriate to the Portable Assistance Project. For information on coding contact your software service provider or view the requirements documents at www.sba.gov/private/edmis2/private

Recipients will be required to submit quarterly performance reports to SBA using SF-PPR, Performance Progress Report, within 30 days of the completion of each of the first three quarters and within 90 days of the completion of the fourth quarter of each Budget Period.

6.3.3 *Report Submission*

Reports may be submitted electronically via e-mail or in hard copy form via mail or courier service to the GOTR.

7.0. Section VII - Agency Contacts

7.1 *Portable Assistance Program Point of Contact*

Questions concerning general information contained in this Announcement should be directed to the Office of Small Business Development Centers, at OSBDC@sba.gov

7.2 *Financial/Grants Management Point of Contact*

Questions regarding budgetary matters related to this Announcement should be directed to OSBDC@sba.gov

7.3 *Grants.gov Technical Support*

For technical support with filing an electronic application in response to this Announcement, contact the Grants.gov help desk at 1-800-518-4726 or support@grants.gov.

8.0. Section VIII - Other Information

8.1. *Definitions*

The following definitions apply to awards made under this Announcement (see 13 CFR part 130 et seq. for additional definitions relating to the Small Business Development Center and Portable Assistance Program):

8.1.1 *Applicant* – An eligible organization that applies for funding under this Program Announcement.

8.1.2 *Budget Period* – The twelve month period during which expenditure obligations will be incurred by the recipient of an award under this Announcement. For the purposes of this Announcement, the initial budget period will begin 30 days after the date of this award and end twelve months from that date

8.1.3 *Cooperative Agreement* – A legal instrument reflecting a relationship between the United States government and a Recipient when the principal purpose of the relationship is to transfer a thing of value to the Recipient to carry out a public purpose of support or stimulation and substantial involvement is expected between the awarding agency and the Recipient when carrying out the activity contemplated in the agreement.

- 8.1.4 *Cost Policy Statement* – A document describing all accounting policies of an Applicant organization and narrating in detail its proposed cost allocation plan. This plan must stipulate the procedures used to identify, measure, and allocate all costs to each benefitting activity.
- 8.1.5 *Counseling* – Services provided one-on-one to an individual and/or business that are delivered in person (face-to-face), on the telephone, or electronically and which:
- a) are substantive in nature and concern the formation, management, financing, and/or operation of a small business enterprise; AND
 - b) are specific to the needs of the business or individual; AND
 - c) require a signed SBA Form 641 or equivalent form that supports SBA’s management information database.
- 8.1.6 *Notice of Award* – The legal document, signed by both SBA and a Recipient, that memorializes the award of funding under a Cooperative Agreement and contains the specific terms and conditions that apply to the award.
- 8.1.7 *Project Period* – The total period of performance for an award made under this Program Announcement, including the base and all option-year Budget Periods.
- 8.1.8 *Recipient* – An organization that has had its application accepted and has been awarded funding under this Program Announcement.
- 8.1.9 *Technical Assistance* – Counseling or training services provided to an individual and/or business in accordance with the terms of this Program Announcement and a Recipient’s Notice of Award.
- 8.1.10 *Training* – a workshop, seminar or similar activity or event which delivers a structured program of knowledge, information or experience on a business-related subject. The training must last for a minimum of one hour and include two or more individuals and/or businesses in attendance.
- 8.1.11 *SBDC Lead Center*. The SBDC recipient organization that has a current Cooperative Agreement with SBA. The recipient organization receives the federal funds and is responsible for establishing an SBDC network for a defined area.
- 8.1.12 *Portable Assistance*. Technical assistance, including programmatic devices and/or client ready tools that may be easily deployed either by design or by its inherent qualities, and that can be distributed to other Agency offices or resource partners and made available to a client based geographically or demographically removed from the initial SBDC.
- 8.1.13 *Small Business* means a business entity
- a. that is independently owned and operated, is not dominant in its field of operation, is organized for profit with a place of business located in the United States, and operates primarily within the United States; and
 - b. that does not exceed the applicable size standard for its industry as established under 13 C.F.R. § 121. In general, the most common size standards are:

- 500 employees for most manufacturing and mining industries
- 100 employees for all wholesale trade industries
- \$33.5 million in average annual receipts for most general & heavy construction industries
- \$14 million in average annual receipts for all specialty trade contractors
- \$7 million in average annual receipts for most retail and service industries
- \$0.75 million in average annual receipts for most agricultural industries.

8.2 Instructions

8.2.1 *Instructions for Completing the SF-424 (Application for Federal Assistance)*

- | | |
|----------|--|
| Item 1 | Enter: "Application" |
| Item 2 | Enter: "New" |
| Item 3 | Completed by Grants.gov upon submission. |
| Item 4 | Leave Blank |
| Item 5a | Leave Blank |
| Item 5b | Leave Blank |
| Item 6-7 | Refer to instructions at end of form. |
| Item 8-9 | Refer to instructions at end of form. |
| Item 10 | Enter: "U.S. Small Business Administration" |
| Item 11 | Enter 59.037 and Portable Assistance Program |
| Item 12 | Enter: Program Announcement No. OSBDC-2012-03 |
| Item 13 | Leave Blank |
| Item 14 | Applicants must specifically identify each city, county, and state that will be affected by its project. |
| Item 15 | Self Explanatory |
| Item 16 | Refer to instruction at end of form. |
| Item 17 | Leave Blank |
| Item 18 | Self Explanatory |
| Item 19 | Check Box C. The Program is covered by E.O. 12372. |
| Item 20 | Refer to instructions at end of form. |
| Item 21 | Self Explanatory |

8.2.2 *Instructions for Completing the SF-424A (Budget Information for Non-Construction Programs)*

The budget is the Applicant's estimate of the total cost of performing the project for which funding is being requested under this Announcement during the applicable Budget Period. The budget is to be based upon the total amount of funds that will be devoted to the project, including Federal funds, contributions from non-Federal sources, and program income (as applicable). All proposed costs reflected in the budget must be relevant to the conduct of the project and must be reasonable, allowable, and allocable under the applicable OMB Cost Principles and Agency policies.

All costs must be justified and itemized by unit cost in the Budget Narrative/Budget Detail Worksheet. All forms contained in the financial application package must be completed accurately and in full.

Enter the following information in the appropriate sections:

Section A - Budget Summary

Column A: Enter "Portable Assistance Program"

Column B: Enter "59.037"

Section B – Budget Categories

Complete lines 6a – 6k, entering amounts by budget category, labeling columns 1- 5 as follows:

- 1 – Federal
- 2 – Non-Federal Cash
- 3 – Non-Federal In-Kind
- 4 – Program Income
- 5 – Totals

All amounts entered in this section must be expressed in terms of whole dollars. The itemization must reflect the total requirements for project funding from both Federal and non-Federal sources.

Section C – Non-Federal Resources

Refer to instructions on form.

Section D – Forecasted Cash Needs

Refer to instructions on form.

Section E – Budget Estimates

Refer to instructions on form.

Section F – Other Budget Information

Direct Charges: Transfer the total direct charges from Section B, line 6i.

Indirect Charges: Transfer the total direct charges from Section B, line 6j.

Section G - Personnel

List the name, title, salary for each employee who will be paid with project funds and the estimated amount of time each will devote to this project. NOTE: Fees, expenses, and the estimated amount of time to be devoted to the project for outside consultants/contractors belongs in the contractual line item, not here.

Section H - Fringe Benefits

Leave blank if fringe benefits applicable to direct salaries and wages are treated as part of indirect costs in the Indirect Cost Rate Agreement (ICRA). If your organization's fringe benefit package is not included in your ICRA, list each component included as a fringe benefit.

Section I - Indirect Charges

Enter the indirect cost rate, date, and Federal agency that issued your ICRA. If your organization does not have an approved ICRA, you must negotiate an ICRA with SBA in accordance with the applicable OMB Cost Principles.

Section J - Justification of Costs

All proposed costs require justification and narrative explanation.

Section K - Miscellaneous or Contingency Costs

Leave blank. No miscellaneous or contingency costs are allowed.

Section L - Proposal Costs

Leave blank. SBA will not pay any costs incurred in the preparation and submission of a proposal.

- 8.3 ***Advanced Understandings.*** If any portion of this Program Announcement conflicts with Section 21 of the Small Business Act, Part 130 of the SBA's regulations (13 C.F.R.), relevant OMB circulars or SBA's policy notices, all of the above will control and take precedence. The terms and conditions of Section VIII of SBA's current, standard Program Announcement are incorporated by reference herein.
- 8.4 ***Shared Information.*** The SBA will have an unlimited license and all rights to use data (excluding private client data), including those prepared or stored electronically, which are generated either partially or fully under this Grant, including materials that are copyrighted.